

Cotswold District Council - Corporate Risk Register

Deliver the highest standards of service													
Risk ID	Description of Risk/Opportunity	Initial Risk Assessment			Existing Control, Mitigation or Contingency	Previous Residual Risk Score			Residual Risk Assessment			Direction of Travel	Risk Response & Further Action
		Impact	Likelihood	Score		Impact	Likelihood	Score	Impact	Likelihood	Score		
CRR-016	<p>If the government does not provide timely and adequate guidance on the proposed changes to the planning system then the Council will be unable to identify the type of Local Plan update that is required. Delays to preparing an updated Local Plan may result in an increase of speculative planning applications on the fifth anniversary of the local plan's adoption (2023).</p> <p>Risk Logged: April 2008</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Business Manager for Localities</p>	4	4	16	<ul style="list-style-type: none"> Local Plan Adopted in Aug 2018. Local Plan Programme Board reconvened with updated Terms of Reference and membership * Cabinet approved Local Development Scheme in 2021, which confirms LP update key milestones and estimated delivery date. 	3	4	12	3	4	12	→	<p>Partial update of Local Plan has restarted. However, the Government announced in May 2021 (via the Queen's Speech) its intention to publish a Planning Bill in the autumn 2021 and carry forward many of the proposed changes suggested by its white paper. The exact details are unknown at this stage but suggested changes are not comparable (in terms of scale and fundamentals) with recent updates and it will have a notable impact on the town planning profession and the Council's statutory duties. The Council's approach to partially updating the Local Plan (rather than a full update) is finely balanced but it continues to offer the most expeditious route to deliver Corporate Strategy actions. This position will need to be reviewed in light of the eventual Planning Bill. Risk of speculative applications has reduced in the short term. Forthcoming request will be made to Cabinet to reboot the partial update of the local plan project</p>
CRR-019	<p>If there are insufficient resources to deliver the objectives of the new Corporate Strategy and Plan then the expectations of our communities may not be met resulting in lower satisfaction and reputational damage.</p> <p>Risk logged: August 2014</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Managing Director</p>	3	3	9	Medium Term Financial Strategy	3	3	9	3	3	9	→	<p>The financial implications of the Council's new Corporate Strategy have been included in the Medium Term Financial Strategy. The latest MTFS was approved by Council in February 2021 and includes additional funding for resources to support the Council's new priorities which were identified in 2020 within the revised MTFS (Sept 2020) and within the Recovery Investment Strategy which also allocates capital funding for investment in Council Priorities and to provide a revenue stream to the Council.</p> <p>This risk links to risk CRR-D02-028 regarding the Local Government Funding Settlement over the Medium Term. This is the biggest risk to the deliverability of the objectives in the new Corporate Strategy.</p>

CRR-028	<p>If the Local Government settlement over the medium term is unfavourable then the Council's savings target may need to increase.</p> <p>Risk logged: July 2015</p> <p>Risk Owner: S.151 Officer Responsible Officer: S.151 Officer</p>	4	4	16	<ul style="list-style-type: none"> • Medium Term Financial Strategy • Only legacy Payments of New Homes Bonus in MTFS • Publica Transformation Programme • Recovery Investment Strategy approved by Council Sept 20 	3	3	9	3	3	9	→	<p>The MTFS was approved in Feb 2021. New Homes Bonus awarded for 2020/21 and 2021/22 is for one year only (no legacy payments from 2021/22). The significant changes to LG Funding (75% Business Rate Retention, Business Rate Reset, Fairer Funding Review and new Spending Round) have been delayed until 2022/23 and is reflected in the update of the MTFS which was approved by Council in Feb 21. MTFS includes savings targets to address changes to government funding.</p> <p>The Council approved a Recovery Investment Strategy in Sept 20 which aims to increase income to the Council to mitigate against reduced government funding.</p>
CRR-018	<p>Budget Pressure: if unavoidable budget pressures exceed provision within the MTFS, such as not making expected savings or failing to meet income targets, the Council may have to consider unplanned use of revenue reserves, raise Council Tax, find further savings and/or cut services.</p> <p>Risk logged: May 2010</p> <p>Risk Owner: S.151 Officer Responsible Officer: S.151 Officer</p>	4	4	16	<ul style="list-style-type: none"> • Regular meetings with Members and Cabinet • MTFS and budget process • Publica Group Managers/Business Managers and Strategic Directors involved in budget process • Publica Transformation Programme • Recovery Investment Strategy 	3	3	9	3	3	9	→	<p>The 2020/21 budget was revised to reflect the impact of Covid 19. Key service providers (Publica, Ubico and SLM) have been engaged in the revised budget and have also fed in to the budget for 2021/22 approved in February 2021.</p> <p>The Council has determined its Priorities and the financial resources required to enable the Council to deliver against its priorities had been included in the MTFS and associated 2021/22 budget.</p> <p>Members and Officers are working on a plan to increase income to the Council to fund both new objectives from the new Corporate Strategy and to bridge the expected funding gap from 22/23 as a result of changes to local government funding.</p>
CRR-027	<p>If Publica does not deliver the agreed objectives in accordance with its business plan then the planned savings for the Council would not be delivered and consequently there would be a risk that services could not be delivered in line with the budget.</p> <p>Risk logged: August 2014</p> <p>Risk Owner: Chief Executive Responsible Officer: Publica Executive Director (Services)</p>	4	3	12	<ul style="list-style-type: none"> • Programme Board • Local Political Support • National Political Support • Early Engagement with employees and Unions • Funding provided to develop detailed business case 	2	2	4	0	0	6	↑	<p>11April 2022 -The savings target for 21/22 is a further £0.5m and whilst some steps are in place to deliver this there are pressures building within the organisation in respect of pay capacity to deliver council objectives. The Council has recently approved some additional resource to help resolve some of these issues and steps are being taken to increase resource and deal with pay issues where the labour market is tight. Whilst the year end position is not yet clear early indications are that the budget targets will be met and there will be no budget overspend..</p>

CRR-032	Without clear and robust procurement procedures, Publica and Partner Councils will not benefit from the most economically advantageous procurement opportunities and may fail to comply with the law governing Public Procurement Rules. Risk logged: January 2021 Risk Owner: S.151 Officer Responsible Officer: Publica Executive Director for Commissioning	4	3	12	<ul style="list-style-type: none"> • Procurement rules approved by Council. • Publica Procurement Team able to provide procurement advice and assistance on major procurements. 	3	2	6	3	2	6	→	Draft Procurement and Contract Management Strategy out for consultation with view to be being approved by all Partners.
CRR-003	If Publica or the Council is unable to recruit suitable staff and retain them, particularly in some key service areas then the level of service delivery may be reduced. Risk logged: March 2008 Risk Owner: Chief Executive Responsible Officer: Publica Executive Director (Services)	3	4	12	<ul style="list-style-type: none"> • Financial incentives (market force supplement scheme) • Work with partners to address skill shortages 	3	3	9	3	3	9	→	11 April 2022 No change in rating. Quarterly performance reports enable any necessary mitigation to maintain service delivery levels to be discussed. A review of recruitment is underway and feedback from managers, staff (both Publica and Retained Council staff) clients and Councillors is being considered to help ensure the service meets users' needs and is both flexible and modern going forward. Career-graded posts are being introduced into a number of service areas to assist with retention and development of staff. A new professional development training offer has recently been promoted to staff as another retention measure. The pay and benefits system is being reviewed and consideration will be given to enhancing the pension scheme.
CRR-009	If staff morale and motivation is low in Publica then the level of service delivered may be reduced in some services. Risk logged: March 2008 Risk Owner: Chief Executive Responsible Officer: Publica Executive Director (Services)	4	5	20	<ul style="list-style-type: none"> • Communication • Comprehensive consultation and engagement process • Change management training • Joint Liaison Forum • 2020 Engagement Strategy - Gloucestershire Healthy Workplace Accreditation Award - Publica recognised as a Real Living Wage employer 	3	3	9	3	2	6	↓	13 Jan 2022 The IIP report identified some areas of weakness for us to work on and we held a Q&A session post sharing of IIP report. We have held some informal staff lunch get togethers to help re-introduce staff to the office environment and re-connect with colleagues face to face. We are delivering some key actions, including a new staff forum and relaunching the Trade Union liaison forum to help address some of the shortcomings identified in the IIP report.
CRR-001	If the Council's data is of poor quality or it does not make appropriate use of its data then the decisions it makes may be flawed. Risk logged: March 2008 Risk Owner: Responsible Officer: Publica Group Manager for Strategic Support	3	4	12	<ul style="list-style-type: none"> • Internal processes and self assessments • Internal audit assurance and support • Dedicated staff resource on performance management and data quality • Performance Management Framework 	3	3	9	3	3	9	→	13-Oct-2021 Additional mitigation has been put in place as part of a collective effort between Corporate Performance and Business Intelligence Teams to improve the accuracy and speed at which KPI data can be collected (moving some of the information into a live environment). A working group has been set up involving members of the scrutiny committee to develop improved assurance methods and metrics for councils relating to public services. Prototyping is in progress in relation to a live data assurance framework for Publica Services.

CRR-011	<p>Cyber Security: If the Council's IT System / infrastructure failed due to cyber-attacks and/or virus then system performance could be reduced leading to poor service delivery/financial impact.</p> <p>Risk logged: May 2013</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Business Support</p>	5	4	20	<ul style="list-style-type: none"> Blocking of USB and other devices PSN compliance Revised policies Staff awareness training BCP in place, reviewed and tested Enhanced encryption software and other specialist cyber tools Investment in cyber training for the ICT Team All partner Councils achieved PSN accreditation in Oct 2021 Ongoing network Internal & External Penetration checks Regular review of User Privileges 	3	2	6	4	3	12	↑	<p>Level of risk has increased to reflect recent events. Although protection measures are already well established, these are reviewed and updated to ensure they remain effective against new risks</p> <ul style="list-style-type: none"> Submission for the re-accreditation of Cyber Essentials to be sent in February 2022 Progress on the Cyber Security updates and Action Plan is being reported to the Council and Publica on a regular basis. Continual update of Information Asset Register Ongoing Password Audits across our network to evaluate weak passwords Detailed review of Business Continuity & Disaster Recovery Plans in light of the GC situation. Ongoing investment in cyber training and a review of capacity planned Security systems updated to monitor and specifically block attacks related to identified vulnerability All emails received from at risk location are quarantined and inspected by ICT staff before being released
CRR-012	<p>Data Security: If there is a loss of data (both on site and as a result of remote/mobile working) / security failure in our IT systems then it could lead to a reduced level of service and have a negative impact on the Council's reputation and finances..</p> <p>Risk logged: May 2013</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Business Support</p>	4	4	16	<ul style="list-style-type: none"> Blocking of USB and other devices PSN compliance Revised policies Staff awareness training BCP in place, reviewed and tested Enhanced encryption software and other specialist cyber tools Investment in cyber training for the ICT Team All Councils have PSN accreditation, which compliments the Cyber Essential Plus. 	3	2	6	3	3	9	↑	<p>Level of risk has increased to reflect recent events. Although protection measures are already well established, these are reviewed and updated to ensure they remain effective against new risks.</p> <ul style="list-style-type: none"> Additional online training to reinforce the need for staff to be aware of their responsibilities with regards to data security, passwords and GDPR is planned. Additional Phishing awareness training to educate employees on how to spot and report suspected phishing attempts is planned. All emails received from at risk location are quarantined and inspected by ICT staff before being released Immutable Storage, Network segmentation, Backup & DR processes in place (these are scheduled to be reviewed).
CRR-034	<p>If 'Waste' contractor does not meet their obligations under key contracts then it could lead to a fall in service standards, reduced customer service, a failure to meet legal requirements or an increase in costs to the Council.</p> <p>Risk logged: January 2022</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Group Manager for Commissioning</p>	5	4	20	<ul style="list-style-type: none"> Regular meetings with Contractors to identify any major issues that may affect service delivery, agree contingency measures and feedback to the Council Although Covid rates have fallen following the vaccination programme, Covid prevention measures are still in place, including crew 'bubbles', social distancing in the depots and effective cleansing of cabs 	4	3	12	4	1	4	↓	<p>14.01.22 Whilst there is 1 case of omicron, the staff member is isolating and therefore this is protecting other staff members effectively. It is unclear what effects further variants of the virus will have, but the effective control measures will remain in place.</p> <p>17.03.22 Ubcico are continuing to be able to recruit enough drivers to be able to deliver all of the services, so whilst this risk hasn't disappeared within the transport industry, it does at least appear to have reduced.</p>

CRR-035	<p>Business Grants and Council Tax Rebates: The Council is expected to undertake a further round of Business Grant Payments and Council Rebates. This will be quite extensive ensuring grant payments and rebates are applied correctly and verified. If there is a failure in how the applications are processed, this could result in a significant overpayment which may not be recovered from central government, creating a financial loss and reputational damage.</p> <p>Risk logged: January 2022</p> <p>Risk Owner: S.151 Officer Responsible Officer: Publica Group Business Manager for Operational Services</p>	5	3	15	<p>Experience in payment of previous Covid Grants Verification process in place, including input from Counter Fraud Team Guidance expected from the NFI and Spotlight Comms to be published to manage expectations</p>	5	2	10	5	2	10	→	<p>Working with Civica to get validated sytem for processing applications in respect of the Council Tax Rebate scheme.</p>
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Opportunities													
ID	Description of Opportunity	Initial Assessment			Existing measures to ensure opportunity will be successfully exploited	Previous Residual Score			Residual Assessment			Direction of Travel	Response & Further Action
		Impact of opportunity	likelihood of failure	score		Impact of opportunity	likelihood of failure	score	Impact of opportunity	likelihood of failure	score		

Key to Officers

Risk Owner

S.151 Officer: Jenny Poole
Monitoring Officer: Angela Claridge
Chief Executive: Robert Weaver

Responsible Officer

Publica Group Finance Director: Frank Wilson
Publica Executive Director - Service Delivery: Sue Pangbourne
Publica Forward Planning Manager: James Brain
Publica Head of Legal Services: Susan Gargett
Publica Group Manager for Commissioning: Claire Locke
Publica Group Manager for Strategic Support: Andy Barge
Publica Group Manager for Business Support: Phil Martin
Publica Business Manager for Data and Growth: Stuart Rawlinson
Publica Data Protection Officer: Tony Oladejo
Publica Business Manager for Development Control: Phil Shaw